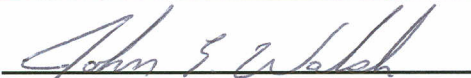


**DMA Policy: 3-0115**

**Name: PERFORMANCE APPRAISAL POLICY AND GUIDELINES**

**Reference: M.O.M. 3-0115, M.C.A. 2-18-102; ARM 2.21.6401**

**Approval Signature:** 

**Effective Date: September 1, 2008**

## **PURPOSE**

The purpose of this policy is to provide a performance appraisal system that encourages managers and employees to work together to accomplish the mission, goals, and objectives of the department and specific work units. It is intended to provide employees with a clear understanding of their duties and responsibilities and the work quantity and quality standards expected; to facilitate job-specific dialog between supervisors and employees; to provide performance feedback to employees; and to identify opportunities for performance and career enhancement.

## **AUTHORITY**

This policy is under the authority of 2-18-102, MCA, and 2.21.6401 through 2.21.6422, ARM, Performance Appraisal.

## **POLICY**

It is the policy of the Department of Military Affairs that performance appraisals be conducted annually for all employees including part-time and seasonal. A performance appraisal will be completed on all employees prior to the end of their probationary period.

## **DEFINITIONS**

**Appraisal--** The rating of an employee's performance on specified, measurable performance objectives.

**Appraisal Period --** A period of time for which an employee's performance is appraised. Usually consists of an annual period, such as the fiscal year or anniversary date, for permanent employees and a seasonal period for seasonal employees.

**Competencies --** A set of behaviors combined with knowledge, skills, abilities, and personal attributes that are observable, measurable, and critical to successful individual or organizational performance. Can be knowledge-based (as found in KSA section of position description) or behavioral (such as personal effectiveness, thinking and problem solving, interpersonal effectiveness, independence of actions, etc.).

**Critical Element --** An area of such critical importance in measuring job performance that it overshadows all other aspects of job performance, and if performed unsuccessfully, will require remedial action and may be the basis for disciplinary action.

**Duties and Responsibilities** -- Specific work tasks or activities critical to perform a job. These can be taken from the employee's position description or work plan.

**Goals and Objectives** -- Those ends we strive to attain to accomplish the departments or work units mission. Many programs provide more specific guidance through annual program plans and fiscal year work plans.

**Grievance** -- A complaint or a dispute initiated by an employee regarding an application or interpretation of written laws, rules, personnel policies, or procedures that adversely affects the employee.

**Performance Measure** -- Criterion or statement of quality, timeliness, cost effectiveness, quantity, observable behaviors, etc., to rate performance and determine whether performance objectives have been met.

**Performance Objective** -- A statement of activity or result that is derived from work plans and the employee position description, and describes a specific duty, responsibility, or competency by the employee. Each performance objective must be as measurable and verifiable as possible.

**Rebuttal**-- Written arguments or evidence submitted by an employee to counter or disprove ratings or written comments by the supervisor on the performance appraisal.

### **GUIDELINES FOR CONDUCTING PERFORMANCE APPRAISALS**

The following guidelines describe the performance appraisal system and procedures for its implementation. The performance appraisal process is comprised of three phases: the performance planning at the beginning of the rating period, performance review during the rating period, and the written appraisal at the end of the rating period.

At the beginning of each appraisal period the supervisor should discuss with the employee the performance objectives to be appraised and acceptable standards for each. The development of these performance objectives and related measures should be the product of a collaborative effort between the supervisor and the employee and can be done in concert with the development of individual work plans.

Division goals and objectives, unit work plans, and the employee's position description can be the basis for developing performance objectives. Each performance objective should specify a single key result to be accomplished, be specific and quantitative, be realistic and attainable, be consistent with the available resources, and whenever possible, be agreed upon between supervisor and subordinate.

Identifying needed training should also be a part of the performance planning process. This includes both the training that has been identified for the employee as a solution to correct previous performance deficiencies as well as the training being necessary to achieve current performance objectives. Career development training to enhance the performance skills of the employee and to meet the needs of the department in the future should also be considered.

Once the performance objectives, measures of performance, and training needs have been identified and agreed upon, they should be entered onto the performance appraisal form. Both the supervisor and employee should sign and keep a copy of the form for referral during the appraisal period.

Throughout the appraisal period, the supervisor should frequently observe the employee's work performance and provide constructive feedback. This can be done verbally or in writing. Supervisors



may wish to keep informal notes throughout the period to assist in appraising employee performance at the end of the appraisal period.

Supervisors may need to adjust the performance objectives based on observations and feedback received during the appraisal period or on changes occurring in position duties or responsibilities.

The written performance appraisal form must be completed by the supervisor within 60 days of the end of the appraisal period. The supervisor must specifically rate the performance of the employee with regard to each objective. At this time the supervisor must formally rate whether the employee's performance meets or does not meet the standard by checking the appropriate block. Ratings of unacceptable, needs improvement, or outstanding must be documented in writing in the comment section of the appraisal form. Supervisors may solicit information from other appropriate staff members to assist in the appraisal process. The rated employee can also be asked to provide a personal assessment of performance on the performance objectives.

After the employee and supervisor review and discuss the completed performance appraisal, they must sign the form. The employee's signature indicates receipt of but not necessarily agreement with the completed performance appraisal. An employee who disagrees with the supervisor's rating can submit a written rebuttal statement. This rebuttal must be submitted to the supervisor within 10 days of the performance appraisal and will be attached to the performance appraisal form.

The completed performance appraisal must be reviewed by the supervisor's immediate supervisor (or other designated person) to address any differences of opinion between the employee and supervisor. The reviewer may not change the ratings or written evaluation by the supervisor. Areas of disagreement between the employee and supervisor, or reviewer and supervisor, should be addressed in writing and attached to the performance appraisal.

After review the performance appraisal is forwarded to the Personnel Bureau and filed in the employee's personnel file in accordance with the Record Keeping Policy, 2.21.6601 et seq ARM.

Employees may grieve adverse employment actions taken as a result of performance appraisal and certain procedural errors in accordance with 2.21.6414, ARM, Performance Appraisal and 2.21.8001 *et seq*, ARM, Grievances.

Performance appraisal records are confidential and will be kept in each employee's official personnel file in Centralized Services. Supervisors may keep a copy, but it must also be kept confidential in compliance with MOM 3-0115. Performance appraisals may be discussed when disclosure is required in administrative or court proceedings or when the employee authorizes their use.

## RATINGS

1 = Unacceptable/Improvement Required: Seldom exhibits appropriate behavior(s), and performance, fails to meet minimum expectations; needs immediate and effective attention.

2= Improvement Desired: Occasionally exhibits appropriate behavior(s) and performance, meets minimum job expectations, but needs improvement.

3= Proficient/Meets expectations: Consistently exhibits competent, effective behavior(s) and performance that meet the basic expectations of the position.

4= Outstanding/Exceeds expectations: Performs at a level of exceptional accomplishment. Consistently makes significant contributions, going above and beyond position expectations.